

Obtaining Approval for a Survey of U.S. Army Personnel

Attitude and Opinion Survey: A survey is a systematic data collection, using face-to-face or telephonic interviews, or self-administered questionnaires (including web surveys), from a sample of 10 or more persons as individuals or representatives of agencies (44 USC § 3502). The questionnaires or interview protocols contain identical questions about attitudes, opinions, behaviors, and related demographic information. The results of the survey will be used to assess and guide current and planned Army policies, programs, and services.

Applicability:

1. All attitude and opinion surveys of Army personnel conducted in two or more major commands (Army Commands, Army Service Component Commands, or Direct Reporting Units, see Figure 1) must be approved by ARI prior to administration, IAW AR 600-46 (Attitude and Opinion Survey Program). (For this guidance, "Major Subordinate Commands" are not considered as major commands.) Requests for survey approval from ARI shall be forwarded to ARI (DAPE-ARI-AO) and must provide the information outlined in Figure 2.
2. Attitude and opinion surveys conducted within a single command (e.g., ACOM, division, brigade, battalion, company/detachment) must be approved by the unit commander.
3. Attitude and opinion surveys of military members conducted in two or more DoD Components (Services) must be approved by the Defense Manpower Data Center, IAW DODI 1100.13 (Surveys of DoD Personnel).
4. Surveys also must be submitted to the appropriate Human Use Committee.

Standards: A survey will be approved only if—

- (1) The need for information warrants the expenditure of resources associated with survey development, administration, and analysis.
- (2) The survey is designed without bias to produce reliable and valid information while imposing minimum burden on respondents and supporting organizations.
- (3) Survey design, content, and administration protect the anonymity and respect the personal rights and privacy of individuals selected as respondents. Surveys will avoid offensive or degrading topics. Responses will not be personally identified with the respondents without consent, nor made a part of their personnel files. (The governing Institutional Review Board will assist in making this determination.)
- (4) Justification is furnished to support the need for all questions in the survey.
- (5) The type of information required is suitable for survey methodology.
- (6) The occurrence of events has caused previously collected information to become suspect in terms of

accuracy or completeness, or sufficient time has passed to warrant the collection of trend data.

(7) Information does not exist in other forms or cannot be obtained through other sources.

(8) When requested by ARI, proponents must obtain a Report Control Symbol (RCS) from their agency. Usually, the RCS for ARI's surveys will be assigned.

Examples:

1. Assuming the planned survey of Army personnel will be conducted in two or more major commands, the following surveys are examples that would require ARI review and approval:
 - *Survey of Army Families*
 - *IG Supervisors Survey*
 - *Army Leadership Assessment Survey*
 - *Army War College Alumni Survey*
 - *Medical Specialist Corps Survey*
 - *Human Relations Survey*
 - *G-1 Incentives Survey*
2. The following survey and types of surveys are examples that would not require ARI review and approval:
 - *Survey of the 173rd Stryker Brigade Combat Team*
 - *Clinical Investigations*
 - *Command Climate Surveys (within a command)*
 - *Customer Satisfaction Surveys*

It is recommended that Clinical Investigations include only those attitude and opinion questions that are directly related to the health and treatment matters.

Survey Control Number

ARI authorization of all approved attitude and opinion surveys will be indicated by a survey control number (SCN). The series will change each fiscal year. The SCN will be on the first page of the instrument or web site in the following format:

SURVEY APPROVAL AUTHORITY:
U.S. ARMY RESEARCH INSTITUTE FOR THE
BEHAVIORAL AND SOCIAL SCIENCES
SURVEY CONTROL NUMBER: DAPE-ARI-AO-xx-xx
RCS: xxxxxx

Submit Request to:

Attitude and Opinion Research Unit
U.S. Army Research Institute
for the Behavioral and Social Sciences
6000 6th St. (Bldg 1464/Mail Stop 5610)
Ft. Belvoir, VA 22060-5610
(703) 545-2332, DSN 865-2332
usarmy.pentagon.hqda-ari.mbx.usarmy-survey-approval@mail.mil

Army Commands Forces Command (FORSCOM) Training and Doctrine Command (TRADOC) Army Materiel Command (AMC)	Direct Reporting Units Network Command (NETCOM) Medical Command (MEDCOM) Intelligence and Security Command (INSCOM) Criminal Investigation Division Command (CIDC) United States Army Corps of Engineers (USACE) Military District of Washington (MDW) Army Test and Evaluation Command (ATEC) United States Military Academy (USMA) United States Army Reserve Command (USARC) Acquisition Support Center Installation Management Command (IMCOM)
Army Service Component Commands USARCENT (Third Army) USARNORTH (Fifth Army) USARSOUTH (Sixth Army) USAREUR (Seventh Army) USARPAC (United States Army Pacific) Eighth United States Army (EUSA) United States Army Special Operations Command (USASOC) Surface Deployment and Distribution Command (SDDC) Space and Missile Defense Command (SMDC)	

Figure 1. Major Army command structure

1. Title of survey.
2. Name of sponsoring organization or office.
3. Name, title, mailing address, telephone number, email address of senior project officer(s).
4. Proposed schedule for survey instrument completion, survey administration, data analysis, final report.
5. Identification of the Internet site for a web survey (for compliance with AR 25-2, Chapter 5).
6. Name of Institutional Review Board (name of agency, IRB chair).
7. Justification for survey request. (Reason why data are needed, specific objectives and how data will be used.)
8. Background research. (Description of the planning, coordination, and staffing of the survey. Include any applicable military or civilian references.)
9. Target population. (Description and size of total population and any subgroups to be used in analysis.)
10. Sample. (Description and size of sample and any subgroups to be used in analysis, type of sample, selection procedures and rationale, degree of over-sampling for non-response.)
11. Data analysis. (Manner of data processing, plan of statistical analysis, statistical procedures to be used, and justification for each, and description of the expected interaction of the major variables. If scales or indexes are to be formed, provide a detailed statement on how items will be combined.)
12. Administration procedures. (Method of data collection and justification, estimated frequency and duration, command effort required, time required for respondent to complete the survey, expected schedule of events.)
13. Draft of the survey instrument, letters of instruction to respondents, and Privacy Act Statement.
14. Planned distribution of survey results.

Figure 2. Information requirements for requesting survey approval